

# PATENT COOPERATION TREATY



From the INTERNATIONAL SEARCHING AUTHORITY

To:  
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## INVITATION TO PAY ADDITIONAL FEES

(PCT Article 17(3)(a) and Rule 40.1)

Date of mailing (day/month/year) <span style="float: right;">14/06/2004</span>	<b>PAYMENT DUE</b> within 45 <del>XXXX</del> days from the above date of mailing
Applicant's or agent's file reference JHOTZ-0001WO <u>35482-003</u>	International filing date (day/month/year) <span style="float: right;">25/07/2003</span>
International application No. PCT/US 03/23473	
Applicant  HOTZ, Jimmy Christian	

**1. This International Searching Authority**

- (i) considers that there are 2 (number of) inventions claimed in the international application covered by the claims indicated ~~XXXX~~ on the extra sheet:

and it considers that the international application does not comply with the requirements of unity of invention (Rules 13.1, 13.2 and 13.3) for the reasons indicated ~~XXXX~~ on the extra sheet:

- (ii) ☒ has carried out a partial international search (see Annex) ☐ will establish the international search report on those parts of the international application which relate to the invention first mentioned in claims Nos.:

1-48, 65, 68-75

- (iii) will establish the international search report on the other parts of the international application only if, and to the extent to which, additional fees are paid

**2. The applicant is hereby invited, within the time limit indicated above, to pay the amount indicated below:**

EUR 945,00 x 1 = EUR 945,00  
 Fee per additional invention      number of additional inventions      total amount of additional fees

Or, \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_

The applicant is informed that, according to Rule 40.2(c), the payment of any additional fee may be made under protest, i.e., a reasoned statement to the effect that the international application complies with the requirement of unity of invention or that the amount of the required additional fee is excessive.

3. ☐ Claim(s) Nos. \_\_\_\_\_ have been found to be unsearchable under Article 17(2)(b) because of defects under Article 17(2)(a) and therefore have not been included with any invention.

Name and mailing address of the International Searching Authority



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Authorized officer

Gwenaëlle Llorca

Date \_\_\_\_\_

1. The present communication is an Annex to the invitation to pay additional fees (Form PCT/ISA/206). It shows the results of the international search established on the parts of the international application which relate to the invention first mentioned in claims Nos.:
- 1-48, 65, 68-75
2. This communication is not the international search report which will be established according to Article 18 and Rule 43.
3. If the applicant does not pay any additional search fees, the information appearing in this communication will be considered as the result of the international search and will be included as such in the international search report.
4. If the applicant pays additional fees, the international search report will contain both the information appearing in this communication and the results of the international search on other parts of the international application for which such fees will have been paid.

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category °	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 4 853 962 A (BROCKMAN ROBERT T) 1 August 1989 (1989-08-01)	1-10, 17-20, 25, 29-32, 34-41, 65, 68-72
Y	abstract column 1, line 61 -column 5, line 39 figures 3-7, 9, 10	11
X	US 5 414 771 A (FAWCETT JR KENNETH J) 9 May 1995 (1995-05-09)	68-75
A	abstract  column 4, line 4 -column 11, line 45; figures 1, 2	2, 18-20, 25-28, 30-32
Y	US 5 003 596 A (WOOD MICHAEL C) 26 March 1991 (1991-03-26)	11
A	abstract column 7, line 1 -column 15, line 57; figures 2, 3, 8-11	1, 10

☐ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

° Special categories of cited documents :

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

- \*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- \*&\* document member of the same patent family

This International Searching Authority found multiple (groups of) inventions in this international application, as follows:

1. Claims: 1-48,65,68-75

Apparatus, method and program storage device for encrypting/decrypting data using a plurality of encryption tables, a plurality of selection tracks, a track mixer and an encryption/decryption module. Pseudo-random generator comprising a selection track generator and a track mixer.

2. Claims: 49-59,60-64,66-67

Apparatus, method and program storage device for automatic set up of an encryptor/decryptor on an apparatus or for the authentication of an apparatus, wherein the apparatus has an identification code unique to the apparatus and a setup file associated with the identification code.

Document US4853962 represents the closest prior art with respect to the first group of claims (subject 1) and discloses a method for encrypting data, wherein several values are combined to generate an index number which is used to select an encryption table from a plurality of encryption tables. This document discloses or at least renders obvious all the features of independent claim 1 and dependent claims 2-10. Dependent claim 11 lacks an inventive step over the combination of the teachings of US4853962 and US5003596.

Document US4853962 does not disclose any of the additional features of dependent claim 12. The objective problem solved by claim 12 can be regarded as how to access to the selected encryption tables and to the corresponding inverse tables.

The special technical feature of claim 12 can therefore be seen as associating the encryption tables with table location addresses, the inverse tables having table location addresses a predetermined amount offset from that of the corresponding encryption tables.

The objective problem solved by the second group of claims (subject 2) is to establish a secure communication between an apparatus and another party setting up or authenticating this apparatus.

The potential special technical feature of the second group of claims can therefore be seen as retrieving a setup file corresponding to the identification code of the apparatus from a database of setup files and encrypting data to be transmitted to the apparatus using the retrieved setup file.

There are no features in the claimed inventions, which can be seen as common or corresponding special technical features within the meaning of Rule 13(2) PCT. Hence, the application does not meet the requirements of unity of invention as defined in Rule 12(1) and (2) PCT.

# Patent Family Annex

Information on patent family members

International Application No

US 03/23473

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
US 4853962 ✓	A	01-08-1989	NONE
US 5414771 ✓	A	09-05-1995	NONE
US 5003596 ✓	A	26-03-1991	AT 160476 T 15-12-1997
		AU 635466 B2 18-03-1993	
		AU 6043190 A 03-04-1991	
		CA 2064769 A1 18-02-1991	
		DE 69031736 D1 02-01-1998	
		DE 69031736 T2 04-06-1998	
		EP 0489742 A1 17-06-1992	
		JP 5501925 T 08-04-1993	
		JP 3188940 B2 16-07-2001	
		WO 9103113 A1 07-03-1991	